
Arms Trade Treaty
First Conference of States Parties
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THE ARMS TRADE TREATY

PROVISIONAL TEMPLATE

INITIAL REPORT ON MEASURES UNDERTAKEN TO IMPLEMENT THE ARMS TRADE TREATY, IN ACCORDANCE WITH ARTICLE 13(1)

This provisional template is intended for use by States Parties to the Arms Trade Treaty when preparing their initial report in accordance with the Treaty's Article 13(1).

The template is divided into two sections. Section A encompasses information which relates to binding obligations under the Treaty. Section B (shaded) contains information which relates to provisions in the Treaty which are estimated to be binding to a lesser degree, or non-binding.

The division of provisions into binding and non-binding has been undertaken - solely for the purpose of this Template - on the basis of a strict observance of the qualifiers included in the text of the Treaty. Thus,

- if a provision in the text is prefaced with “shall” only, it is considered binding and information on that topic should be provided in the initial report.
- if a provision in the text has qualifiers, such as “shall...subject to its national laws”, or “shall...pursuant to national law”, or “shall...consistent with national law”, or “shall...where necessary/appropriate”, then a binding obligation is deemed to exist unless certain conditions are fulfilled - and information should be provided at least to indicate whether the obligation is considered applicable or not in the specific national context.
- if States Parties are only encouraged to take, or invited to consider taking, certain actions, the provision is deemed non-binding and information on the topic is voluntary. This category also includes qualifiers such as “may include...” or actions to be initiated “by mutual consent” with another State Party.

In Section B, States Parties are obliged according to Article 13(1) to provide information on the listed measures to the extent that such measures have been undertaken to implement the Treaty. On a voluntary basis, more information may also be provided.

GOVERNMENT OF LATVIA

INITIAL REPORT ON MEASURES UNDERTAKEN TO IMPLEMENT THE ARMS
TRADE TREATY, IN ACCORDANCE WITH ITS ARTICLE 13(1)

This Initial Report may be made publicly available	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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SECTION A.
INFORMATION RELATED TO BINDING OBLIGATIONS IN THE TREATY

1. NATIONAL CONTROL SYSTEM AND LIST

A. Overview of legislation and ordinances governing the national control system [Article 5(2)] (please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)			
Law On the Circulation of Goods of Strategic Significance			
Council Common Position 2008/944/CFSP defining common rules governing control of exports of military technology and equipment http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1450687466385&uri=CELEX:32008E0944			
B. The national control system includes the following:		Yes	No
i)	competent national authorities (further specified below) [Article 5(5)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	a control list [Article 5(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	one or more national points of contact to exchange information on ATT implementation [Article 5(6)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below.			
C. The national point(s) of contact has (have) been notified to the Secretariat of the Treaty [Article 5(6)] (if 'No', please clarify below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
D. The national control list covers the following:		Yes	No
i)	Battle tanks [Article 2(1a)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	Armored combat vehicles [Article 2(1b)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	Large-caliber artillery systems [Article 2(1c)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iv)	Combat aircraft [Article 2(1d)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
v)	Attack helicopters [Article 2(1e)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
vi)	Warships [Article 2(1f)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
vii)	Missiles and missile launchers [Article 2(1g)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
viii)	Small arms and light weapons [Article 2(1h)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The national control list also includes the following, in order to enable the		Yes	No

application of Articles 3 and 4:			
ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
x)	Parts and components in a form that provides the capability to assemble the conventional arms covered in Article 2(1) [for the application of Article 4]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below			
E. The national control list has been provided to the Secretariat of the Treaty [Article 5.4] (if 'No', please elaborate further below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Control list for military goods is the Common Military List of the European Union, available here: http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1450441839114&uri=CELEX:52015XG0421%2805%29			

2. PROHIBITIONS

A. The national control system prohibits authorization of transfers as defined by Article 2(2), of conventional arms covered under Article 2(1) and items covered under Articles 3 and 4, in the circumstances specified in Articles 6(1) to 6(3) (if 'No' in any respect, please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
B. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(2) (please list below)		
Republic of Latvia is party to all major international agreements and treaties that are relevant for effective implementation of ATT		
C. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(3) (please list below)		
Republic of Latvia is party to all four Geneva Conventions, to all three Additional Protocols, and to the Rome Statute		

3. EXPORTS

A. The national control system includes the following:		Yes	No
i)	an authorization or licensing system for arms exports [Article 5(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	prohibition assessment guidelines [Article 6]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	export assessment criteria [Article 7]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iv)	a risk assessment procedure [Article 7]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below			
B. National export controls apply to the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4 (if 'No', please provide further information below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
C. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)] (if 'No', please provide further information below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

D. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4) (if 'No' in any respect, please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
E. The competent national authority(-ies) for the control of exports [Article 5(5)] (please specify below)		
Ministry of Foreign Affairs, Ministry of Defense, Latvian State Police, Security Police, Latvian Customs		
F. The national control system allows appropriate information about an export authorization to be made available, upon request, to the importing State Party and/or to the transit or trans-shipment States Parties [Article 7(6)] (if 'No' please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

4. IMPORTS

A. The national control system includes measures that allow the regulation, where necessary, of imports of conventional arms covered under Article 2(1). [Articles 6(1) to 6(3) and Article 8(2)] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
The import of items that are listed in Common Military List of the European Union requires an import license. Conventional arms import controls are based on Law On the Circulation of Goods of Strategic Significance and Common Military List of the European Union		
If 'Yes', please also answer the following question		
B. The competent national authority(-ies) for the regulation of imports [Article 5(5)] (please specify below)		
Ministry of Foreign Affairs, Ministry of Defense, Latvian State Police, Security Police, Latvian Customs		
C. The national control system allows for the provision, pursuant to national law and upon request, of appropriate and relevant information to assist an export assessment by a potential exporting State Party [Article 8(1)] (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

5. TRANSIT & TRANS-SHIPMENT

A. The national control system includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1) [Articles 6(1) to 6(3) and Article 9] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
A license is required for any transit of conventional arms. Conventional arms transit controls are based on Law On the Circulation of Goods of Strategic Significance and Common Military List of the European Union		
B. The national control system includes measures that allow the regulation, where necessary and feasible, of trans-shipment of conventional arms covered under Article 2(1) [Articles 6(1) to 6(3) and Article 9] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

A license is required for any transshipment of conventional arms. Conventional arms transshipment controls are based on Law On the Circulation of Goods of Strategic Significance and Common Military List of the European Union			
C. Control measures for the regulation of transit and/or trans-shipment cover : (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)		Yes	No
i)	Transit / trans-shipment through land territory (including internal waters)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	Transit / trans-shipment through territorial waters	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	Transit / trans-shipment through national air space	<input checked="" type="checkbox"/>	<input type="checkbox"/>
D. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)] (please specify below)			
Ministry of Foreign Affairs, Ministry of Defense, Latvian State Police, Security Police, Latvian Customs			

6. BROKERING

A. The national control system includes measures that allow the regulation, pursuant to national laws, of brokering of conventional arms covered under Article 2(1) [Articles 6(1) to 6(3) and Article 10] (if 'Yes', please provide further information below on the nature of control measures and confirm that they apply to all items in the national control list. If 'No', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
A license is required for any conventional arms brokering activity. Controls of conventional arms brokering activities are based on Law On the Circulation of Goods of Strategic Significance and Common Military List of the European Union			
B. The definition of brokering used in national legislation [Articles 6(1) to 6(3) and Article 10] (please specify in particular if there are extraterritorial elements in the definition, for instance the activities of nationals resident abroad, or transfers that take place between two third countries)			
Brokering transaction is any transaction with goods of strategic significance that is associated with the transfer of goods of strategic significance, including the transfer from one third country to another			
C. The competent national authority(-ies) for the regulation of brokering [Article 5(5)] (please specify below)			
Ministry of Foreign Affairs, Ministry of Defense, Latvian State Police, Security Police, Latvian Customs			

7. DIVERSION

A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]		Yes	No
i)	assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	cooperation and information exchange, where appropriate and feasible and pursuant to national law, with other States Parties [Article 11(3)] (if 'No', please provide background below)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
B. The national control system includes appropriate measures to be taken, pursuant to national law and in accordance with international law, when a diversion of transferred conventional arms under Article 2(1) has been detected		<input checked="" type="checkbox"/>	<input type="checkbox"/>

[Article 11(4)] (if 'No', please elaborate below)		

8. RECORD KEEPING

A. The national control system includes provisions for maintaining records regarding: [Article 12(1)] (mandatory to retain records for one of the two options below)		Yes	No
i)	issued authorizations for the export of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	actual exports of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)] (if 'No' to both (i) and (ii), please elaborate below)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
B. Records are kept for a minimum of 10 years [Article 12(4)] (if 'No', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

9. REPORTING

A. The national control system allows for the provision of information as required by Article 13(3) (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

10. ENFORCEMENT

A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty [Article 14] (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
B. National legislation allows the provision to another State Party of jointly agreed assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty [Article 15(5)] (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

11. INTERNATIONAL COOPERATION

A. Cooperation is possible with other States Parties of the Treaty with a view to its effective implementation, where such cooperation is consistent with national law and security interests [Article 15(1)] (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

12. INTERNATIONAL ASSISTANCE

A. National regulations and policy allow for the provision - upon request and if in a position to do so - of implementation assistance as set out in Article 16(1)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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(if 'No', please elaborate below)		

13. DISPUTE SETTLEMENT

A. National regulations and policy allow for consultations and, by mutual consent, cooperation in the settlement of disputes regarding the interpretation or application of the Treaty by at least one of the means outlined in Article 19(1) (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

SECTION B.
INFORMATION RELATED TO NON-BINDING PROVISIONS IN THE TREATY

States Parties are obliged according to Article 13(1) to provide information on the measures listed below, to the extent that such measures have been undertaken to implement the Treaty. On a voluntary basis, more information may also be provided

1. NATIONAL CONTROL SYSTEM AND LIST

F. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) & Preamble, 13th para]	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
If 'No', please provide further information below, for instance whether a separate set of controls are applied to these types of arms		
G. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)] (If 'Yes', please specify below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Latvia controls all items listed in Common Military List of the European Union		
H. Control list definitions are supplemented by more detailed definitions not in the control list itself [Article 5(3)] (If 'Yes', please provide further information below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
For military items Latvia uses definitions that are provided in Common Military List of the European Union which are primarily based on definitions set out in Wassenaar Arrangement control list		
I. The national control list is publicly available [Article 5(4)] (if 'Yes', please provide information below as to how your control list is made publicly available - if available on the open internet please provide the hyperlink)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Control list for military goods is the Common Military List of the European Union, available here: http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1450441839114&uri=CELEX:52015XG0421%2805%29		
J. Additional voluntary information about non-obligatory aspects of a national control system (please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)		
Coordination between agencies involved in control of strategic goods is done on daily basis. Depending on the type of goods, other agencies involved in the control of strategic goods (for example Ministry of Defense, Latvian State Police or Security Police) must give consent to issue each license for circulation of strategic goods. Requirement of approval of licenses from other institutions promotes transparency and accountability. Outreach not only to industry but also to customs officials to help identify strategic goods is done regularly		

2. PROHIBITIONS

D. Additional voluntary information relevant to prohibitions under Article 6 (please elaborate below)
Articles 179¹ and 201¹⁰ of Administrative code and Articles 73, 84, 190¹ and 237¹ of Criminal law sets out punitive measures for violation of Strategic goods circulation laws

3. EXPORTS

G. The national risk assessment procedure includes the consideration of risk mitigation measures that could be undertaken to mitigate identified risks [Article 7(2)] (if 'Yes' please elaborate below, including an indication of types of risk mitigation measures that are most often used)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
If the circumstances require and allow, apart from end-user documentation control, consultations via diplomatic and intelligence channels in the end-user state are made		

H. The national control system allows exports of controlled equipment without a licence or under simplified procedure under certain circumstances [for instance temporary exports or exports to trusted partners] (if 'Yes' please provide further information below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Simplified procedures of military item exports to other EU and NATO member states exists		
I. The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3.D above (if 'Yes' please specify below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Apart from criteria set out in Article 7 of Arms Trade Treaty, Latvia follows the Criteria set out in Council Common Position 2008/944/CFSP defining common rules governing control of exports of military technology and equipment, available here: http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1450687466385&uri=CELEX:32008E0944		
J. Measures to exercise control over exports are applicable also to other categories of conventional arms than those covered in Articles 2(1), 3 and 4 [Article 5(3)] (if 'Yes', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Latvia controls all items listed in Common Military List of the European Union which includes items listed in Arms Trade Treaty and additional military items		
K. An export authorization can be reassessed if new relevant information becomes available [Art 7(7)] (if 'Yes', please provide further information below. Are there also legal provisions for suspension or withdrawal of a license?)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Legal provisions for suspension and withdrawal of licences are set out in Law On the Circulation of Goods of Strategic Significance and Cabinet Regulation for Procedures by Which the Control Documents for Goods of Strategic Significance are Issued or Refused		
L. Information / documentation included in an application for an export authorization (please specify below)		
Exporter, country of origin, description of the items, end-use and end-user, address of the end-user, commodity customs code, customs point of exit, mode of transport		
M. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an export authorization [Article 5(5)] (please specify below)		
Ministry of Foreign Affairs, Ministry of Defense, Latvian State Police, Security Police, Latvian Customs		
N. The national control system allows a State of final destination to request information concerning pending or actual export authorizations pertaining to it [Article 8(3)] (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
O. Additional voluntary information relevant to national export controls (please specify below - for instance on the control of re-exports.)		
End-user certificates must contain re-export clause		

4. IMPORTS

D. Imports of conventional arms subject to control are under specific circumstances permitted without regulation or under simplified procedure (if 'Yes' please provide further information below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
As per Section 4 of Law On the Circulation of Goods of Strategic Significance, an import license for goods of strategic significance shall not be necessary if the National Armed Forces, Prison Administration or authorities existing under the subordination or supervision of the Ministry of the Interior import goods of strategic significance without the mediation of a merchant		
E. Measures to regulate imports are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

Latvia controls all items listed in Common Military List of the European Union which includes items listed in Arms Trade Treaty and additional military items
F. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an import authorization (when such an authorization is required) [Article 5(5)] (please specify below)
Ministry of Foreign Affairs, Ministry of Defense, Latvian State Police, Security Police, Latvian Customs
G. Information / documentation required for an import authorization (please specify below)
Exporter, country of origin, description of the items, importer, end-use and end-user, address of the end-user, commodity customs code, customs point of entrance, mode of transport
H. Additional voluntary information relevant to national import controls (please specify below)

5. TRANSIT & TRANS-SHIPMENT

E. Transit / trans-shipment of controlled equipment is permitted without regulation or under simplified procedure under certain circumstances (for instance in a free trade area) (if 'Yes' please provide further information below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Simplified procedures can be applied to transit and trans-shipment cases of controlled equipment if the circulation of goods is limited to other European Union member states via the territory of Latvia and approvals from European Union member state of origin of goods and European Union member state of end-user of goods are attached to the shipment		
F. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty (if 'Yes', please specify the additional scope of control and indicate whether the additional control applies to all items in the national control list)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
In addition to following obligations under Article 6 of the Arms Trade Treaty, when assessing transit and trans-shipment of conventional arms, Latvia follows the Criteria set out in Council Common Position 2008/944/CFSP defining common rules governing control of exports of military technology and equipment, available here: http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1450687466385&uri=CELEX:32008E0944		
G. Measures to regulate transit and/or trans-shipment are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Latvia controls all items listed in Common Military List of the European Union which includes items listed in Arms Trade Treaty and additional military items		
H. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a transit or trans-shipment authorization (when such an authorization is required) [Article 5(5)] (please specify below)		
Ministry of Foreign Affairs, Ministry of Defense, Latvian State Police, Security Police, Latvian Customs		
I. Information / documentation required in an application for a transit / trans-shipment authorization (please specify below)		
Exporter, country of origin, description of the items, importer, end-use and end-user, address of the end-user, commodity customs code, customs point of entrance and exit, mode of transport		
J. Additional voluntary information relevant to national transit / trans-shipment controls (please specify below)		

6. BROKERING

D. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 & 10] (if 'Yes', please provide further information below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Simplified procedures can be applied brokering cases of controlled equipment if the circulation of goods is limited to other European Union member states and approvals from European Union member state of origin of goods and European Union member state of end-user of goods are attached to the shipment		
E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations) (if 'Yes', please specify the additional scope of control)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
In addition to following obligations under Article 6 of the Arms Trade Treaty, when assessing applications for brokering of conventional arms, Latvia follows the Criteria set out in Council Common Position 2008/944/CFSP defining common rules governing control of exports of military technology and equipment, available here: http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1450687466385&uri=CELEX:32008E0944		
F. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Latvia controls all items listed in Common Military List of the European Union which includes items listed in Arms Trade Treaty and additional military items		
G. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a control measure related to brokering [Article 5(5)] (please specify below)		
Ministry of Foreign Affairs, Ministry of Defense, Latvian State Police, Security Police, Latvian Customs		
H. Information / documentation required in an application related to brokering (please elaborate below)		
Exporter, country of origin, broker, description of the items, importer, end-use and end-user, address of the end-user, commodity customs code, customs point of entrance and exit if applicable, mode of transport		
I. Additional voluntary information relevant to national brokering controls (please specify below)		

7. DIVERSION

C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)] :	Yes	No
iii) establishment of mitigation measures [Article 11(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iv) provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
v) requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
vi) examination, where appropriate, of parties involved in a transfer [Article 11(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
viii) requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ix) exchange of relevant information with other States Parties on effective measures to address diversion, as well as on illicit activities and actors [Articles 11(5) & 15(4)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
x) reporting through the Secretariat to other States Parties on measures taken to address diversion of transferred conventional arms covered under Article 2(1) [Articles 11(6) & 13(2)]	<input type="checkbox"/>	Not yet. If circumstances require, Latvia is ready to report

xi)	other measures [Article 11(1)] (if 'Yes', please specify below)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
As a measure to prevent diversion of conventional arms, Latvia follows the Criteria set out in Council Common Position 2008/944/CFSP defining common rules governing control of exports of military technology and equipment, available here: http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1450687466385&uri=CELEX:32008E0944			
D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]		Yes	No
i)	alerting potentially affected States Parties	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	investigative and law enforcement measures at the national level	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	using international tracing mechanisms to identify points of diversion	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iv)	other measures (if 'Yes', please specify below)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Information exchange between European Union member states. Other measures can be applied if the specific situation requires it			
E. Measures taken to prevent or address diversion are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Latvia controls all items listed in Common Military List of the European Union which includes items listed in Arms Trade Treaty and additional military items			
F. Additional voluntary information relevant to the prevention of diversion of conventional arms (please specify below - for instance regarding measures in place to avoid diversion in the context of the international movement of conventional arms referred to in Article 2(3) of the Treaty)			
Thorough evaluation of end-user certificates in which no re-export or diversion clause must be included. If the circumstances require and allow, consultations via diplomatic and intelligence channels in the end-user state are made			

8. RECORD KEEPING

C. The national control system includes provisions for maintaining records regarding :		Yes	No
i)	imports of conventional arms covered under Article 2(1) of the Treaty into national territory as final destination [Article 12(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	authorizations for the transit and/or trans-shipment through national territory of conventional arms covered under Article 2(1) of the Treaty [Article 12(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	authorizations related to the conduct of brokering activities included in the scope of the national control system (for instance relating to a register of brokers) [Article 10]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
D. Records cover other categories of conventional arms than those specified in Article 2(1) (if 'Yes', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Latvia controls all items listed in Common Military List of the European Union which includes items listed in Arms Trade Treaty and additional military items			
E. Additional voluntary information relevant to national record keeping (please specify below - for instance types of information preserved in national records for exports and imports respectively)			
Records contain information about quantity, value and description of the goods, exporting state and exporter, importer and end-user, end-use of the goods. License number, date of issue and date of expiry, commodity customs code, customs point of entry or exit, mode of transport			

9. REPORTING

B. Additional voluntary information relevant to national reporting (please specify below, for instance if national reports are publicly available - if available on the open internet)
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please provide the relevant hyperlink)

Reporting information is submitted to European Union for Annual European Union Arms Exports Report

10. ENFORCEMENT

C. National measures have been taken to prevent, in cooperation with other States Parties, the transfer of conventional arms covered under Article 2(1) of the Treaty becoming subject to corrupt practices [Article 15(6)] (please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Capacity to take action allows to carry out measures when circumstances require		
D. Additional voluntary information relevant to national enforcement (please elaborate below - for instance measures taken to criminalize offences against national laws and regulations that implement the provisions of the Arms Trade Treaty and to prescribe legal penalties in these cases.)		
Administrative code and Criminal law sets out punitive measures (fines and criminal proceedings) for violation of Strategic goods circulation laws		

11. INTERNATIONAL COOPERATION

B. Additional voluntary information relevant to participation in international cooperation (please elaborate below - for instance in terms of the measures suggested in Article 15, or in terms of participation in international or regional cooperation in the transfer control area)
Active participation in bilateral and multilateral exchanges on arms control

12. INTERNATIONAL ASSISTANCE

B. National regulations and policy allow the provision of financial resources to the voluntary trust fund established under Article 16(3) of the Treaty (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Depending on the resources needed and the availability of them in annual budget		
C. Additional voluntary information relevant to the provision- or receipt of implementation assistance (please specify below - for instance regarding assistance provision capacities or assistance needs,)		
Latvian experts participate in EU outreach activities designed to improve arms export control systems		

13. DISPUTE SETTLEMENT

B. National regulations and policy allow for the settlement of disputes concerning the interpretation or application of the Treaty through recourse by mutual consent to arbitration as outlined in Article 19(2) (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
C. Additional voluntary information relevant to dispute settlement under the terms of the Treaty (please specify below)		